



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

KADEL *et al.*

Appl. No.: 10/780,864

Filed: February 19, 2004

For: **Microstructured Filter**

Confirmation No.: 1964

Art Unit: 3743

Examiner: *To Be Assigned*

Atty. Docket: 1461.0060001/TUM/MJM

**Information Disclosure Statement**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed on accompanying Forms PTO/SB/08a and PTO/SB/08b are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Applicants have listed publication dates on the attached PTO/SB/08a and PTO/SB/08b based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent

application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☒ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- ☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first

cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

☐ c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$\_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).

☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$\_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☐ 7. Copies of the documents are submitted herewith.
- ☒ 8. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. 09/509,201, filed June 15, 2000, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).
- ☐ 9. No copies of U.S. patents and patent application publications cited on the attached Forms PTO/SB/08a and PTO/SB/08b are submitted in accordance with 1276 OG 55 because this application was filed after June 30, 2003.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO/SB/08a and PTO/SB/08b, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



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Date: 08/03/04

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Substitute for form 1449A/PTO

AUG 03 2004

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete If Known**

Sheet	1	of	5	Application Number	10/780,864
				Filing Date	February 19, 2004
				First Named Inventor	Klaus Kadel
				Art Unit	3743
				Examiner Name	To Be Assigned
				Attorney Docket Number	1461.0060001/TUM/MJM

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (If Known)			
	AA1	US-3,347,473	10-17-1967	Steck	
	AB1	US-3,397,278	08-13-1968	Pomerantz	
	AC1	US-3,615,054	10-26-1971	La Botz	
	AD1	US-3,771,724	11-13-1973	Rose <i>et al.</i>	
	AE1	US-3,921,916	11-25-1975	Bassous	
	AF1	US-3,948,777	04-06-1976	Murata <i>et al.</i>	
	AG1	US-3,965,012	06-22-1976	Eguchi <i>et al.</i>	
	AH1	US-4,151,955	05-01-1979	Stouffer	
	AI1	US-4,334,992	06-15-1982	Von Bonin <i>et al.</i>	
	AJ1	US-4,601,921	07-22-1986	Lee	
	AK1	US-4,681,258	07-21-1987	Jenkins <i>et al.</i>	
	AL1	US-4,688,056	08-18-1987	Noguchi <i>et al.</i>	
	AM1	US-4,828,184	05-09-1989	Gardner <i>et al.</i>	
	AN1	US-4,829,324	05-09-1989	Drake <i>et al.</i>	
	AO1	US-4,875,968	10-24-1989	O'Neill <i>et al.</i>	
	AP1	US-4,899,937	02-13-1990	Haruch	
	AQ1	US-4,915,718	04-10-1990	Desai	
	AR1	US-4,936,954	06-26-1990	Sander	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	BA1	DE 916 879	08-19-1954	Gustav Schlick		
	BB1	EP 0 041 729	12-16-1981	Pagendarm Erich		
	BC1	EP 0 231 432 A2 & A3	08-12-1987	Kernforschungszent Karlsruhe		
	BD1	EP 0 255 208 B1	02-03-1988	Corsette		
	BE1	EP 0 397 441	11-14-1990	Xaar Ltd.		
	BF1	GB 1515892	06-28-1978	Bowles Fluidics Corp.		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with M PEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete If Known**

Application Number	10/780,864
Filing Date	February 19, 2004
First Named Inventor	Klaus Kadel
Art Unit	3743
Examiner Name	To Be Assigned
Attorney Docket Number	1461.0060001/TUM/MJM

Sheet 2 of 5

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (If Known)			
	AA2	US-5,084,178	01-28-1992	Miller <i>et al.</i>	
	AB2	US-5,160,403	11-03-1992	Fisher <i>et al.</i>	
	AC2	US-5,320,096	06-14-1994	Hans	
	AD2	US-5,332,466	07-26-1994	Nozawa	
	AE2	US-5,334,247	08-02-1994	Columbus <i>et al.</i>	
	AF2	US-5,401,403	03-28-1995	Haggqvist	
	AG2	US-5,460,720	10-24-1995	Schneider	
	AH2	US-5,472,143	12-05-1995	Bartels <i>et al.</i>	
	AI2	US-5,487,378	01-30-1996	Robertson <i>et al.</i>	
	AJ2	US-5,587,128	12-24-1996	Wilding <i>et al.</i>	
	AK2	US-5,762,789	06-09-1998	De los Reyes <i>et al.</i>	
	AL2	US-5,770,076	06-23-1998	Chu <i>et al.</i>	
	AM2	US-5,782,791	07-21-1998	Peterson <i>et al.</i>	
	AN2	US-5,814,219	09-29-1998	Friedmann <i>et al.</i>	
	AO2	US-5,820,767	10-13-1998	Kane <i>et al.</i>	
	AP2	US-5,855,801	01-05-1999	Lin <i>et al.</i>	
	AQ2	US-5,871,645	02-16-1999	Reed <i>et al.</i>	
	AR2	US-5,902,365	05-11-1999	Haggard	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>4</sup> Kind Code <sup>5</sup> (in known)				
	BA2	GB 2065505	07-01-1981	Bauer		
	BB2	JP 50-29165	09-20-1975	Mitsubishi Heavy Industries Ltd.		
	BC2	JP 50-29166	03-25-1975	Mitsubishi Heavy Industries Ltd.		
	BD2	JP 53-7819	01-24-1978	Hitachi Ltd.		
	BE2	JP 56-113367	09-07-1981	Hitachi Ltd.		
	BF2	JP 57-182452	11-10-1982	Shinshu Seiko Co., Ltd.		

Examiner Signature	Date Considered
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<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete If Known</b>	
				Application Number	
				10/780,864	
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				February 19, 2004	
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		Number-Kind Code <sup>2</sup> (If Known)			
	AA3	US-5,904,846	05-18-1999	Clements <i>et al.</i>	
	AB3	US-5,980,759	11-09-1999	Proulx <i>et al.</i>	
	AC3	US-5,985,142	11-16-1999	Belden	
	AD3	US-5,988,400	11-23-1999	Karachevtcev <i>et al.</i>	
	AE3	US-6,000,558	12-14-1999	Proulx <i>et al.</i>	
	AF3	US-6,010,458	01-04-2000	Roberts	
	AG3	US-6,103,119	08-15-2000	Clements <i>et al.</i>	
	AH3	US-6,110,368	08-29-2000	Hopkins <i>et al.</i>	
	AI3	US-6,113,784	09-05-2000	Stoyell <i>et al.</i>	

FOREIGN PATENT DOCUMENTS						
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		Country Code <sup>4</sup> Kind Code <sup>5</sup> (in known)				
	BA3	JP 2-229050	09-11-1990	Xerox Corporation		
	BB3	JP 3-267173	11-28-1991	Mitsubishi Motor Corporation		
	BC3	WO 79/00236	05-03-1979	Bowles Fluidics Corporation		
	BD3	WO 91/14468	10-03-1991	Miller Weston Ltd.		
	BE3	WO 92/10301	06-25-1992	DMW (Technology) Ltd.		
	BF3	WO 92/10306	06-25-1992	DMW (Technology) Ltd.		

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(Use as many sheets as necessary)

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of

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Application Number

10/780.864

Filing Date

February 19, 2004

First Named Inventor

Klaus Kadel

**AR UNIV**

3743

**Examiner Name**

### *To Be Assigned*

Attorney Docket Number

1461.0060001/TUM/MJM

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Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete If Known</b>			
				Application Number		10/780,864	
				Filing Date		February 19, 2004	
				First Named Inventor		Klaus Kadel	
				Art Unit		3743	
				Examiner Name		To Be Assigned	
Sheet	5	of	5	Attorney Docket Number		1461.0060001/TUM/MJM	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	CA1	ANGELL, James B., TERRY, Stephen C. and BARTH, Phillip W., <u>Silicon Micromechanical Devices</u> , <i>Sci. Am.</i> 248:(4)36-47 April 1983.	
	CB1	PETERSON, Kurt, <u>Silicon as a Mechanical Material</u> , <i>Proceedings of the IEEE</i> 70(5):420-456 May 1982.	

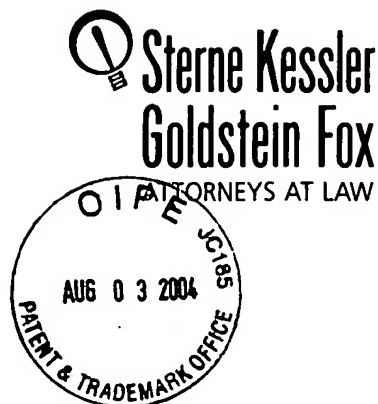
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\*Admitted only in Maryland  
\*Admitted only in Virginia  
\*Practice Limited to Federal Agencies

August 3, 2004

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**Art Unit 3743**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Re: U.S. Utility Patent Application  
Application No. 10/780,864; Filed: February 19, 2004  
For: **Microstructured Filter**  
Inventors: **KADEL et al.**  
Our Ref: 1461.0060001/TUM/MJM

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Information Disclosure Statement;
2. Form PTO/SB/08a (5 sheets) listing 68 cited documents (AA1-AR1, BA1-BF1, AA2-AR2, BA2-BF2, AA3-AI3, BA3-BF3, BA4-BC4 and CA1-CB1); and
3. One (1) return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Teresa U. Medler  
Attorney for Applicants  
Registration No. 44,933

TUM/MJM/BKB:kim  
Enclosures

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